



# *Corps of Engineers Electronic Recordkeeping Information System*

## *CEERIS*

*hosted by*

*US Army Corps of Engineers, Honolulu District*



# *The CEERIS Program Manager*

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# *CEERIS Timeline*

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- *FY00 - Prepare for FY01 budget for training, meetings, hardware & software*
- *FY01 - Purchase & install the hard/software*
- *FY01 - Implement at Counsel & Regulatory*
- *FY02 - Implement at Field Offices & Contract Admin.*
- *FY 03 - Implement at remainder of HED*



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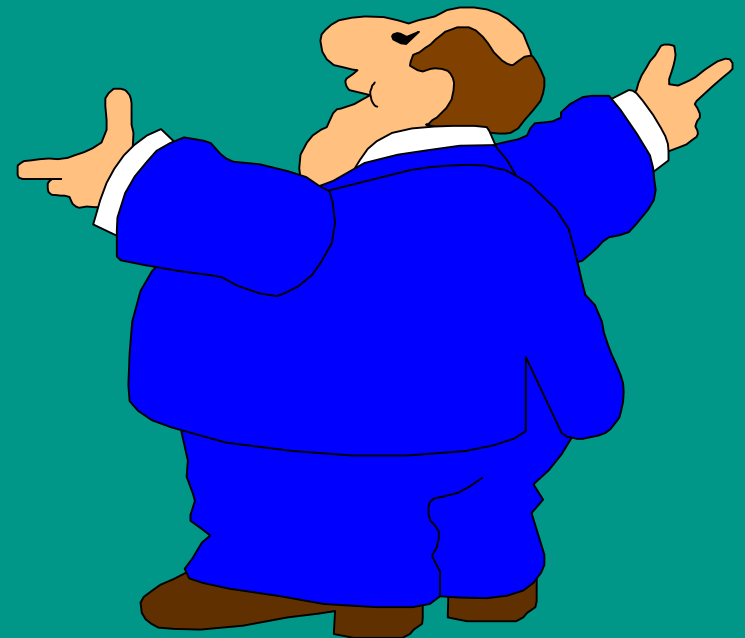
# *Update on Electronic Recordkeeping*

*Candace Lein-Hayes  
NARA-Pacific Alaska Region  
March 1999*

# *Definition of Electronic Records*

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- *Data that otherwise meets the definition of a Federal record...*
- *but in a form that requires a computer to use*



# *Electronic Recordkeeping System*

- *An electronic system in which records are collected, organized, and categorized to facilitate their preservation, retrieval, use, and disposition*

– 36 CFR 1234.2



# *Brief History*

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- *'60s - '80s Traditional mainframe environments*
- *'80s Transition thru minicomputers*
- *Early '90s Distributed environments*
- *Late '90s Internet/Intranet*

# *NARA's ER Guidance*

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## ■ *Mainframes*

- *Clear guidance*
  - *System documentation*
  - *Transfer requirements*
  - *Maintenance requirements*

## ■ *Minicomputers*

- *Same as mainframes, only more widely dispersed*



# *ER Guidance for Distributed Computing*

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- *Much less clear*
- *Rapid change, strong market forces*
  - *lack of standards*
  - *obsolescence of media*
- *Agency freedom*
- *No mandate for NARA leadership*

# *NARA's Early Guidance*

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- *ER Regulations at 36 CFR 1234*
  - *Issued 1990*
  - *Amended 1995*
    - *Added E-mail guidance*
    - *GRS 20 and GRS 23 for disposition*
- *Managing Electronic Records: An Instructional Guide - 1990*

# *Recent Events Impacting ER*

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- *Lawsuit - Armstrong v EOP*
- *DoD 5015.2 STD*
- *Lawsuit - Public Citizen v Carlin*
- *NARA Strategic Plan*

# *Armstrong v EOP - 1993*

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- *Electronic versions of documents are Federal records*
- *E-mail is different than paper copy*
  - *Routing and time stamp information*
- *E-mail must be managed as Federal record*

# *E-mail Guidance*

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- *Determine “record” status*
- *Non-record - delete when no longer needed*
- *Record*
  - *print paper copy with transmission data and file*
  - *save to an electronic recordkeeping system*

# *E-mail Issues*

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- *Each employee must manage*
- *Each employee must be trained*
  - *identify records*
  - *correct file/disposition*
- *May continue to exist on backup tapes*
- *Subject to FOIA and discovery*

# *Recordkeeping Responsibilities of Federal Employees*

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- *Ensure “adequate and proper documentation” of activities*
  - *protect legal and financial rights*
  - *preserve institutional memory*
  - *accountability to governmental and public scrutiny*

# *Recondkeeping Responsibilities of Federal Employees con't*

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- *Maintain active records in office filing system*
  - *Use MARKS as file plan guide*
  - *Designate “official file stations” for office records*
  - *File records on a routine basis*
  - *Cutoff files on a yearly basis*



# *Recordkeeping Responsibilities of Federal Employees con't*

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- *Preserve records for proper disposition*
  - *apply MARKS disposition standards to inactive records*
  - *promptly destroy records eligible for destruction*
  - *maintain permanent or long term records in proper storage*
  - *transfer permanent records to NARA*

# *DoD 5015.2-STD - 1997*

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- *Minimum functional requirements for Records Management Applications (RMA)*
- *COTS testing and certification*
- *NARA review and endorsement in November 1998*

# *DoD Functional Requirements- Mandatory*

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- *Manage all records regardless of storage media*
- *Y2K compliant*
- *Link to agency file plan*
- *Treat e-mail as records*

# *DoD Functional Requirements- Mandatory con't*

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- *Store records without alterations*
- *Track disposition of records*
- *Allow for retrieval of records*
- *Allow for destruction of records*

# *DoD Electronic Recordkeeping Systems*

- *Corp of Engineers Electronic Recordkeeping Information System (CEERIS)*
- *Commercial Off-the-Shelf Software (COTS)*
  - *DoD tested and certified*
  - *website:*  
*[Http://jitc.fhu.disa.mil/recmgt/#standard/](http://jitc.fhu.disa.mil/recmgt/#standard/)*

# *CEERIS*

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- *Meets DoD Functional Requirements*
- *Designed specifically for USACE*
- *Mandatory for USACE by 2003*
- *Updated version to be issued soon*

# *Preparing for CEERIS Implementation*

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- *Identify “records” for your office*
- *Use MARKS for filing and disposition*
  - *on-line at*  
*<http://www.rmd.belvoir.army.mil/rmda/>*
- *Clean out records and nonrecords on yearly basis*

# *CEERIS Implementation*

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- *Identify office for “pilot project”*
- *Work with Pacific Ocean Division IM staff*
- *Work with CEERIS Center of Excellence*
  - *Located at USACE, Seattle District*
  - *Leslie Malek, Project Manager*



# *CEERIS Implementation*

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- *...you've got to get your conventional records management house in order before you can move to ERM. Records schedules and filing plans are input to any ERM package. If you don't have these schedules and plans up to date, no "gee-whiz" software product can do the job for you."*

*J. Timothy Sprehe, Government  
Computer Week, March 15, 1999*

# *Public Citizen v Carlin - 1997*

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- *GRS 20 null and void*
  - *Governmentwide recognition that ER need to be scheduled*
- *Electronic Record Work Group report*
  - *on-line at*  
*<http://www.nara.gov/records/grs20>*

# *General Records Schedule (GRS)*

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- *Issued by NARA for use by all agencies*
- *Cover routine administrative/housekeeping records*
- *Use in conjunction with MARKS to cover all agency records*

# *GRS - Transmittal 8*

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- *Issued December 1998 in response to lawsuit*
- *Updates schedules 1-16, 18, 23*
- *Item to allow for deletion of e-mail and word processing system copies*
  - *does not cover record copies*
- *GRS 22, Inspector General schedule rescinded*

## *Other NARA ER Guidance*

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- *GRS 20 Scheduling Guidance to be issued this Spring*
- *Agencies required to schedule electronic records*
  - *NARA will provide training for agency staff*

# *NARA Strategic Plan*

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## ■ *Greater Emphasis on Records Management*

- *Organize mission around the life cycle of records*
  - *More “front end” records management*
- *Deal with electronic records issues*

## ■ *Provide “targeted assistance” to Federal agencies*

# *Targeted Records Management Assistance*

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- *Proactive work with Agencies on Records Management Problems*
  - *assist agencies in solving problems*
  - *on-site assistance*
- *“Best Practice” guidance for agencies*
- *Focus on ER issues*
- *Additions to NARA IM staff Summer 1999*

# *Fast Track Guidance Development Project*

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- *Established in January 1999*
- *Attempt to provide more timely ER guidance*
- *FAQ's, practical guidance not policy*



# *Fast Track Contact Information*

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- *E-mail ER questions to [records.mgt@arch2.nara.gov](mailto:records.mgt@arch2.nara.gov)*
  - *“Fast Track” in the subject line*
- *Fax ER questions NARA @ (301) 713-6852*
- *NARA-Pacific Alaska Region (206) 526-6501*



# *Questions*

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